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JUN 25 2007



## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/027,020	12/21/2001	Joydeep sen Sarma	112056-0006

CONFIRMATION NO. 1111

24267  
CESARI AND MCKENNA, LLP  
88 BLACK FALCON AVENUE  
BOSTON, MA 02210

## FORMALITIES LETTER

\*OC00000007367523\*

Date Mailed: 01/25/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

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PART 2 - COPY TO BE RETURNED WITH RESPONSE

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**CESARI AND MCKENNA, LLP**

ATTORNEYS AT LAW  
88 BLACK FALCON AVENUE  
BOSTON, MASSACHUSETTS 02210

(617) 951-2500

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A. SIDNEY JOHNSTON  
EDWIN H. PAUL  
OF COUNSEL

HEATHER SHAPIRO  
PATENT AGENT

TELECOPIER  
(617) 951-3927

WEB SITE  
WWW.C-IL.COM

**FACSIMILE COVER SHEET**

112056-0006

DATE:	June 25, 2007
TOTAL PAGES WITH COVER:	16
TO:	Examiner Yves Dalencourt
FIRM:	Network Appliance
FACSIMILE NUMBER:	(571) 273-8300
TELEPHONE NUMBER:	(571) 272-3998
FROM:	A. Sidney Johnston

## COMMENTS:

**Attn: Examiner Yves Dalencourt****Re: U.S. Patent Application Serial No. 10/027,020**

Examiner Dalencourt:

The signed Declaration is enclosed, along with the Express-Mail Deposit Sheet, U.S. Post Office Express Mail Receipt, and a copy of the returned Post Card showing that the USPTO received the filing. Thank you for your kind consideration.

A. Sidney Johnston

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If you do not receive all pages, or you are not the intended recipient, please contact us at (617) 951-2500 as soon as possible.

N/A DHD

Date Due: 3/25/02

Date Mailed: 3/8/02

Date Filed: December 21, 2001

Inventor(s): Joydeep sen Sarma et al.

Title: System and Method for Transferring Volume Ownership in Networked Storage

File No.: 112056-0006

Serial No.: 10/027,020

Group Art Unit: 2171



Honorable Commissioner of Patents and Trademarks: We are forwarding herewith:

☒ Oath or Declaration (3 pages)☒ Assignment With Recordation Form Cover Sheet (6 pages including Cover Sheet).☒ Information Disclosure Statement☒ Preliminary Amendment☒ Fee Transmittal Letter☒ Check No. 234 for \$170☒ PTO-1449 and Copies of References☒ Formalities Letter

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Date Due: 3/25/02  
Date Mailed: 3/8/02  
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**CESARI AND McKENNA, LLP**  
88 BLACK FALCON AVENUE  
BOSTON, MA 02210  
(617) 951-2600

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112056-0006

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re The Application of:  
Joydeep sen Sarma et al.

Serial No.: 10/027,020

Filed: December 21, 2001

For: System and Method for Transferring  
Volume Ownership in Networked  
Storage

Examiner: Not Yet Assigned

Art Unit: 2171

Cesari and McKenna, LLP  
88 Black Falcon Avenue  
Boston, MA 02210  
March 8, 2002

**EXPRESS-MAIL DEPOSIT**

"Express Mail" Mailing-Label Number: EL 736451010 US

The following papers are being deposited with the United States Postal Service  
"Express Mail Post Office to Addressee" service pursuant to 37 C.F.R. §1.10:

X Oath or Declaration (3 pages)  
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Cover Sheet (6 pages including Cover  
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X Information Disclosure Statement  
X Formalities Letter

X Fee Transmittal Letter  
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X PTO-1449 and Copies of References  
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JUN 25 2007

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

TOTAL AMOUNT OF PAYMENT

(\$)

170

Application Number

10/027,020

Filing Date

December 21, 2001

First Named Inventor

Joydeep Sen Sarma et al.

Examiner Name

Not Yet Assigned

Group Art Unit

2171

Attorney Docket No.

112056-0006

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

03-1237

Deposit  
Account  
Name

Cesari and McKenna, LLP

☒ Charge Any Additional Fee Required  
Under 37 C.F.R. §§1.16 and 1.17

☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check☐ Credit card☐ Money☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	208	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	180	214	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	0

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20**	0	0	0
Independent Claims	3**	0	0
Multiple Dependent			0

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	0

\*\*For number previously paid, if greater; For Reissues, see below

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Fee Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English Specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	480	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,980	128	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	60	123	50	Processing fee under 37 CFR 1.17(c)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR 1.128(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
189	900	189	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

SUBTOTAL (3)

(\$) 170

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

Duane H. Dreger

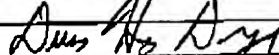
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48,836

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Date

March 8, 2002

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